R E P O R T  R E S U M E S

ED 017 731 VT 004 940

PROCEDURAL GUIDE FOR WRITING OF PROPOSALS.
WEST VIRGINIA RES. COORD. UNIT FOR VOCAT. EDUC.
WEST VIRGINIA STATE DEPT. OF EDUC., CHARLESTON

PUB DATE 68

EDRS PRICE MF-$0.25 HC-$1.88 45P.

DESCRIPTORS- *RESEARCH COORDINATING UNITS, *RESEARCH PROPOSALS, RESEARCH CRITERIA, *EDUCATIONAL RESEARCH, *ADMINISTRATOR GUIDES, EVALUATION, *VOCATIONAL EDUCATION, PILOT PROJECTS, EXPERIMENTAL PROGRAMS, DEMONSTRATION PROGRAMS, PROGRAM PLANNING, FINANCIAL SUPPORT, FEDERAL AID, PROGRAM PROPOSALS, PROGRAM DEVELOPMENT,

THE PROCEDURES TO BE FOLLOWED IN THE PREPARATION, SUBMISSION, AND APPROVAL OF APPLICATIONS FOR FUNDS TO SUPPORT RESEARCH, TRAINING, EXPERIMENTAL DEVELOPMENTAL PROGRAMS, AND PILOT PROGRAMS IN VOCATIONAL EDUCATION ARE OUTLINED. THE AREAS DISCUSSED ARE (1) SOURCES OF FUNDS, (2) PROCEDURE FOR SUBMISSION OF RESEARCH PROPOSALS, (3) TYPES OF PROPOSALS, (4) REVIEW PROCEDURE FOR PROPOSALS, (5) THE FORMAT OF THE PROPOSAL DOCUMENT, (6) FINAL REPORTS OF FUNDED PROJECTS, (7) CRITERIA FOR EVALUATING PROPOSALS, AND (8) EDUCATIONAL RESEARCH PRIORITY AREAS FOR 1967-68 AS PERCEIVED BY THE UNITED STATES OFFICE OF EDUCATION'S BUREAU OF RESEARCH. THE APPENDIXES INCLUDE (1) OUTLINES AND CRITERIA FOR EVALUATING DIFFERENT KINDS OF PROPOSALS, (2) CHECKLIST FOR PROPOSAL REVIEW, AND (3) FACSIMILES OF THE PRELIMINARY APPLICATION FORM, THE BUDGETARY FORMAT, AND A WORKSHEET. THIS GUIDE REPRESENTS ONE OF THE ONGOING EFFORTS OF THE WEST VIRGINIA RESEARCH COORDINATING UNIT FOR VOCATIONAL EDUCATION TO STIMULATE, COORDINATE, AND DISSEMINATE RESEARCH AND RESEARCH FINDINGS WITHIN THE STATE OF WEST VIRGINIA. (ET)

ED017731

West Virginia Research Coordinating Unit for Vocational Education

# PROCEDURAL GUIDE

# FOR THE

# WRITING OF PROPOSALS

Marshall University Huntington, West Virginia

VT004940

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

THIS DOCUMENT HAS BEEN REPRODUCED EXACTLY AS RECEIVED FROM THE PERSON OR ORGANIZATION ORIGINATING IT. POINTS OF VIEW OR OPINIONS STATED DO NOT NECESSARILY REPRESENT OFFICIAL OFFICE OF EDUCATION POSITION OR POLICY.

# PROCEDURAL GUIDE FOR THE WRITING OF PROPOSALS

West Virginia Research Coordinating Unit
for Vocational Education
Department of Education
Marshall University
Huntington, West Virginia

in Cooperation with the

Bureau of Vocational, Technical, and
Adult Education
State Department of Education
Charleston, West Virginia

1968

*The research reported herein was made possible by a grant from the U. S. Office of Education, Department of Health, Education and Welfare.*

TABLE OF CONTENTS


| | | PAGE |
|---|---|---|
| | FOREWORD | ii |
| I. | INTRODUCTION | 1 |
| II. | SOURCE OF FUNDS | 1 |
| III. | PROCEDURE FOR SUBMISSION OF RESEARCH PROPOSALS | 3 |
| IV. | TYPES OF PROPOSALS | 3 |
| V. | REVIEW PROCEDURE FOR PROPOSALS | 4 |
| VI. | THE PROPOSAL DOCUMENT | 5 |
| VII. | FINAL REPORT AND DISTRIBUTION | 11 |
| VIII. | CRITERIA FOR EVALUATION OF PROPOSALS | 11 |
| IX. | EDUCATIONAL RESEARCH PRIORITY AREAS FOR 1967-68 | 11 |
| X. | SUMMARY | 12 |
| | Appendix A | 14 |
| | Appendix B | 16 |
| | Appendix C | 20 |
| | Appendix D | 24 |
| | Appendix E | 30 |
| | Appendix F | 34 |

# FOREWORD

This guide, which seeks to develop a systematic approach to the preparation, submission and approval of research activities in Vocational Education in West Virginia, is made available through the services of the West Virginia Research Coordinating Unit for Vocational Education located on the campus of Marshall University in Huntington, West Virginia.

The Research Coordinating Unit serves as the research arm of the Bureau of Vocational, Technical and Adult Education and has as one of its objectives the stimulation, coordination and dissemination of research and research findings within the state of West Virginia.

The Research Coordinating Unit is prepared to assist any agency with the preparation and submission of proposals for funding under Public Law 88-210, Sec. 4(c) and other laws, acts or regulations which provides funds for occupation education oriented research. There are, in addition to the federal government, a number of private agencies which allocate funds for research in the area of vocational education.

This guide outlines the procedure to be followed in making application for funds to support research, training, and experimental developmental and pilot programs in vocational education. Abstracts of U.S.O.E. document number OE-12025 and procedures used in other states were used as a guide in developing this publication.

Particular mention should be made of materials developed by the Delaware Occupational Research Coordinating Unit, Dr. F. C. Finsterbach, Director. The procedures outlined herein are applicable regardless of whether the proposal is processed through the West Virginia Research Coordinating Unit.

Glenn E. Smith
West Virginia RCU

# I. INTRODUCTION

The financing of research in vocational-technical education is available from a number of agencies down to and including the Bureau of Vocational, Technical and Adult Education. Since there is considerable competition for available funds it is important the applicant agency be cognizant of the various agencies and the type of projects each will fund.

# II. SOURCES OF FUNDS

## I. United States Office of Education

There are two separate types of support available through the U.S.O.E. One is through the Bureau of Research and the other is under Title III of the Elementary and Secondary Education Act.

A. Bureau of Research. There are two patterns of research support from the Bureau of Research.

1. Project Support - Application for project support should be made when the initiator wishes to engage in a self-contained activity or set of activities with a few well defined objectives that can be carried out in a predetermined period of time. The administrative responsibility for small project research has been decentralized to the Office of Education's Regional Office where small project proposals will be received and processed. Address of the O.E. Regional Office for West Virginia is:

Regional Research Program
U. S. Office of Education DHEW
Regional Office III
220 Seventh Street, N.E.
Charlottesville, Virginia 22901

To qualify as a small project there are two basic requirements: (1) the total investment by the Office of Education is $10,000.00 or less, and (2) the project is scheduled for completion within a period of 18 months.

2. Program Support - Designed for specific problem areas in education where the U.S.O.E. feels there is need for continuous intensive attention. Programs provide for concentration of professional resources over an extended period of time.

Project support deals with clearly delineated, limited time research while program support is designed for continuous research or research oriented activity.

B. Title III ESEA. Funds available under this act are designed to narrow the gap between current education research and existing practices in the school classroom. Local educational agencies are encouraged to evaluate their needs and develop educational programs which are innovative and designed to more fully meet their needs and enrich the curriculum.

Two types of project applications may be submitted.

1. Planning Grant - Used to identify the educational and cultural needs of the area to be served as a basis for planning Title III project.

2. Operational Grant - Used to establish and maintain an innovative Title III project.

C. United States Department of Labor - Office of Manpower Policy, Evaluation and Research (OMPER) - The Department of Labor conducts a continuing program of research to provide a better understanding of the national manpower problems and better tools to deal with them. Under the authority of the Manpower Development and Training Act OMPER may enter into contract or award grants for the conduct of research. There are four programs of research under this agency.

1. Contract Research - This program is available primarily for relatively extensive action -- oriented research projects on a fundamental manpower problem. The project is usually a monograph, book, or other definitive report.

2. Research Grant - Grants of up to $10,000.00 are available to established scholars in the social and behavioral sciences for the development of research designs and innovative research in the manpower field.

3. Doctoral Candidate Grants - Grants of up to $10,000.00 are awarded to universities for the support of doctoral candidates writing their dissertations in the manpower field.

4. Manpower Research Institutional Grants - These grants are available to colleges and universities for long-term support (at least 3 years) of continuing research programs and research training activities centered on major manpower problems. Institutional grants are limited to not more than $75,000.00 per year.

D. State Research Funds - Limited funds are available from the Bureau of Vocational, Technical and Adult Education for support of research or research related activities.

E. Private and Non-Profit Organizations - Those who provide funds for research in vocational education. Example - The Ford Foundation, etc.

## III. PROCEDURE FOR SUBMISSION OF RESEARCH PROPOSALS

The following procedures will be adhered to in order to process proposals through the RCU in the most expeditious manner.

Prior to submitting a research proposal, a Preliminary Application Form (Appendix "A") should be completed and forwarded to the RCU with the understanding that the detailed proposal will be submitted after a determination by the Research Committee that a study of the type proposed would be feasible. Copies of the Preliminary Application Form are available from the RCU. Information provided on the Preliminary Application should be in such detail as to enable the State Research Committee to evaluate the proposed study and its application to vocational education programs.

Upon notification by the RCU that the Research Committee has approved the submission of a proposal for this study, applicants should then proceed to develop a complete proposal. The services of the RCU will be available to assist in this preparation if desired.

The proposal should be concise but sufficiently complete to provide information for sound evaluation. See suggested outlines. The proposal should be typed or otherwise reproduced on white paper size 8½" x 11", on one side only. Thirty-five copies of the completed proposal will be required. Prior to submission of the final proposal, it would be advisable to submit a draft copy for preliminary review and study. The staff of the Research Coordinating Unit will be available for consultation during any stage of the application. Phone A/C 304, 523-3411, Ext. 266.

## IV. TYPES OF PROPOSALS

Basically there are three types of program proposals which are encouraged in the application for U. S. Office of Education, Bureau of Research Funds. These are:

A. Research - These proposals focus on an educational problem

of major importance in providing high quality vocational education. Anticipated results of the research would be of potential value to vocational education and of broad national interest. See Appendix "B" for proposal outline and further detail.

B. Training - These proposals are designed to provide a significant contribution to the professional and/or technical training of vocational and technical educators. The anticipated outcomes of the training would be that it have application beyond the local setting in which the training is conducted. See Appendix "C" for suggested outline and further detail.

C. Experimental, Developmental or Pilot Programs - These proposals focus on the educational problems of major importance in providing special vocational education programs for youth. (Special consideration will be given to programs involving youth in economically depressed communities who have economic or socioeconomic or other handicaps which prevent them from succeeding in regular vocational education programs.) The program or procedure to be utilized would be feasible and practical for wide application in vocational education and would be considered with new and/or unique vocational education programs or procedure or application of known information in a new situation for the education of youth. See Appendix "D" for suggested outline and further detail.

The suggested format for the above types of proposals are those required by the U. S. Office of Education, Bureau of Research and will meet the requirements of most agencies providing funds for research. However, it is well to check with the agency to which the proposal is to be submitted in order to determine if a special format is desired.

## V. REVIEW PROCEDURE FOR PROPOSALS

Final approval and authorization of funds to support proposed projects rests with the State Director of Vocational Education, however, the procedure for proposal review will normally be as follows:

Step One. Submission of the preliminary application forms by the research agency.

Step Two. Review of the preliminary application form and approval for proposal writing.

Step Three. Submission of a draft copy of the proposal to the RCU.

Step Four. Submission of the final copy of the proposal to the RCU in 35 copies on 8½ x 11 white paper along with 25 copies of the proposal abstract.

Step Five. Review of the proposal and forwarding by the Research Committee to the State Director of Vocational Education for his approval.

Step Six. Forwarding of approved standard proposals to:

Research Analysis and Allocation Staff
Bureau of Research
U. S. Office of Education
Washington, D. C. 20202

If a small project proposal forwarding to:

Regional Research Program
U. S. Office of Education/DHEW
Regional Office III
220 Seventh Street, N. E.
Charlottesville, Virginia 22901

If a Title III ESEA project application submit to:

Director, Div. of Plans & Supplementary Centers
U. S. Office of Education
400 Maryland Avenue, S. W.
Washington, D. C. 20202

In addition, copies of Title III proposals are to be forwarded to the State Department of Education for its review and recommendations.

Step Seven. Project approval and funding by USOE or Bureau of Vocational, Technical and Adult Education.

A. United States Office of Education Projects. May require up to one year for approval. Funding is by grant or contract.

B. State Funded Projects. Projects are normally funded immediately on a contract basis utilizing a memorandum of agreement.

Step Eight. Conduct of the research project.

Step Nine. Publication of findings.

## VI. THE PROPOSAL DOCUMENT

Application for support is made by submitting a properly executed

standard application form (available from the Bureau of Research Regional Offices or RCU) and the appropriate number of copies of a formal proposal which describes the activity or activities, explains their significance, identifies key personnel, and estimates costs.

Since funds are available only for the most promising activities, proposals must be assessed competitively (see Criteria for Evaluation of Proposals). A uniform proposal format has been designed to accomodate all Bureau of Research projects, regardless of the authorizations under which they are funded. Use of a single format gives the applicant freedom to concentrate on the particular activity to be undertaken without having to choose among application patterns.

All proposals must include the standard cover page, a one-page abstract, the body section, and personnel and budget items. Within this framework, each applicant states the case for his activity.

The guidelines below are generally applicable, regardless of the magnitude of the proposed project, the area of investigation, or the authorization under which the project may be funded, if approved. The applicant is expected to make judicious adaptations of this format to accommodate the kind of research or related activity he proposes to undertake.

A. The Cover Page. Nothing may precede this page. It contains only the following information in the order indicated, and two copies must be signed. Please note the following example.

PROPOSAL FOR RESEARCH AND/OR RELATED ACTIVITIES
SUBMITTED TO THE U. S. COMMISSIONER OF EDUCATION FOR
SUPPORT THROUGH AUTHORIZATION OF THE BUREAU OF RESEARCH

Title: (Be concise; avoid obscure technical terms)

Contracting Agency:
(or Cooperating Institution) (Name of College or University, State Agency, School District, or other unit with major commitment to the activity)

Initiator:
(Applicant or Principal Investigator) _____ Signature
(Full name of person responsible for development of proposal; position; telephone area code, number, extension)

(If initiated by a student under faculty sponsorship, add line--sponsored by _____, and give the same information for the sponsor.)

Project Director:
(If different from Initiator or Principal Investigator) _____ Signature
(Full name of person in charge of investigation; position; telephone area code, number, extension)

Transmitted By: _____ Signature
(Full name and position of official committing the contracting agency or cooperating institution, agency, school district, etc., to the activity, telephone area code, number, extension)

Contracting Officer: _____ Signature
(Full name and position of individual with authority to negotiate contracts or grants for the contracting agency or cooperating institution, telephone area code, number, extension)

Duration of Activity: (Proposed beginning and ending dates)

Total Federal Funds Requested:

Date Transmitted:

Other Information:

(1) If there has been any previous communication with the Bureau of Research on this proposal, give name of staff member concerned:

_____.

(2) If this is a resubmission or an extension of a previous proposal, provide the Bureau proposal number previously assigned:_____.

B. Abstract. The abstract occupies a single page, identifies the proposal, and concisely and simply summarizes the contents. To accommodate the various uses made of this page, the abstract must be written in language understandable by an informed layman. One abstract is placed after the title page in each copy of the formal proposal and 25 copies are provided separately. At the top of the abstract page, the following items should appear on separate lines: Title of Project, Principal Investigator, Contracting Agency, Amount of Federal Funds Requested, and Proposed Beginning and Ending dates. The summary portion of the abstract has three parts: A statement of the purposes, objectives, or nature of the project; an indication of expected contribution to education; and a compendium of procedures or description of what is to be done.

C. Body. The body of the proposal communicates the project director's plan and its probable effectiveness. It should be clear, concise, forthright, and complete, and should be kept within 20 single-spaced, typewritten pages. Proposals for exceptionally extensive or complicated projects may subsequently be developed into larger documents with the advice and cooperation of office staff. The body of Small Project Research proposals should not exceed 10 pages.

Within the body section, there are normally three parts which should be subtitled as appropriate for the particular kind of research, development, or dissemination activity to be undertaken. These parts answer the questions: Why? What, when and how? Use of results? Some attention is also given to personnel, facilities, and costs, which are subsequently treated in detail.

1. Problem and Objectives - The first part tells why the research or related activity should be undertaken. It includes a statement of the problem or purposes, review of literature and related research, concise statement of objectives, or any other information necessary to establish a sound rationale.

2. Description of Activities (Procedures) - This part tells what is to be done, when, and how. It is the basis for determining the degree to which the proposed activity can be expected to accomplish the objectives or satisify the need set forth in the first part of the proposal body. It delineates procedures, outlines program arrangements, describes materials to be produced, or otherwise explains how the activity leads to results and how evaluation will be accomplished. Allowances for alternatives, if any, should be noted. A time schedule for completion of the project is usually provided near the end of the proposal.

The amount and kind of detailed information will vary accordingly to the type of activity. For example, a basic research study--which might include rather strict statistical treatment--would be approached quite differently from a curriculum-development activity. A project which is complete within itself would not be approached in the same way as a phase of a proposed multiphase activity. Preparation of initial materials for a modern foreign language would not include the same procedures as the demonstration of new media usage or the testing of a pilot study in vocational or technical education.

3. The Use To Be Made of Findings - This part tells how the results of the activity may be disseminated and/or implemented, what contribution to education can be expected, and what steps should follow.

4. Personnel and Facilities - Personnel and facilities are a major determinant of capability.

Personnel with major responsibilities are listed by name, position, title, experience, responsibilities within the project, percentage of time committed to the activity, and the extent to which this commitment has been assured. Consultants who have agreed to serve should be similarly identified (otherwise, the application should describe the type of consultative assistance required).

Facilities should be described and the extent to which their use has been assured should be indicated.

5. The Budget Section - The budget section of the proposal starts on a new page and uses the tabular presentation shown in Appendix "E". The applicant should show reasonable estimates but be detailed enough to suggest careful analysis of expected costs and understanding of fiscal responsibilities in connection with conducting the proposed activity. Alternative budgets may show allowances for extension of objectives or revision of procedures. Local contribution, or cost sharing, is required on all grants and encouraged on contracts. Cost sharing may not be avoided by substitution of a contract in a situation requiring a grant instrument. Local contribution, while not necessarily a measure of the project's soundness or potential worth and not specifically required on certain contracts, is considered evidence of local interest and commitment in the activity. The budget section should include an outline of the sources and amounts of non-Federal support and any conditions upon which this support is contingent.

6. Appended Items

Other Information.--Give a brief statement about each of the following: (a) If this or a similar proposal has been submitted elsewhere, give details. (b) If this is a proposed extension of, or addition to, a previous or current project supported by the Office of Education, give the Bureau and the grant or contract number of the related support instrument.

Revisions.--If this proposal is a resubmission of a previous formal proposal, give the Bureau proposal number assigned the original proposal and describe the major revisions which have been made. (This does not apply to preliminary statements submitted for informal review.)

Report of Other Projects.--If any of the primary personnel have a current or uncompleted project with the Office of Education or other agency, an appended statement should indicate the status of the project, the amount of time devoted to it, and the relationships between the current and proposed projects.

If any of the personnel have completed a research or development project supported by the Office of Education, give information to identify it. If findings of the previous project are related to the current proposal, summarize them briefly.

Agreement with Cooperating Agencies.--Where agreements with school districts or other cooperating agencies are a factor, copies should be appended.

Instruments.--When an applicant plans to use a published or unpublished instrument (e.g., a questionnaire or interview guide) in his study, the proposal document should include a copy of, if the instrument is still to be developed, a page of sample items and an outline of the complete instrument. (See special conditions, data-collection instruments.)

Other Items.--If necessary, other items may be added, but appended items cannot carry the burden of the request for support.

## VII. FINAL REPORT AND DISTRIBUTION

Necessary interim reports as required by the funding agency will be rendered on schedule as required with copies to the Research Coordinating Unit. Fifteen copies of final reports are required by the Bureau of Research, U. S. Office of Education. In addition, the Research Coordinating Unit will need a minimum of three copies of all final reports.

## VIII. CRITERIA FOR EVALUATION OF PROPOSALS

Proposals are evaluated and recommended for approval according to these criteria:

1. Educational significance.

2. Soundness of design, procedure, or plan.

3. Adequacy of personnel and facilities.

4. Economic efficiency.

5. Other specific criteria, as appropriate.

Evaluation of a proposal's significance to education requires more than consideration of the project itself. It involves attention to the breadth of the project's probable impact, its relationship to other ongoing and completed research, and its capacity for contributing to educational improvement within the context of total research needs.

Educational significance, then, is the first of several conditions for support; but if a proposal lacks adequate technical quality, personnel or economic efficiency, it will not be supported, regardless of its significance. In like manner, no matter how technically excellent the proposal may be, its support is contingent on its significance to education nationally.

## IX. EDUCATIONAL RESEARCH PRIORITY AREAS FOR 1967-68

To insure relevance of individual research projects to the current and pressing needs in vocational education, five specific priority research areas have been defined by the Division of

Comprehensive and Vocational Research (CVER), Bureau of Research, U. S. Office of Education. These five areas are: (1) program evaluation -- evaluations are needed of vocational education's effectiveness in meeting the needs of the nation's young people; (2) vocational education curriculums -- curriculums are needed which will provide occupational skill training for nearly eight times the number of students who now receive it, and will insure that the training is adaptive, up-to-date, and related to existing and future job requirements; (3) vocational education resources development -- studies are needed which relate to the determination of the numbers, qualifications and sources of persons required to staff current and projected vocational programs, and how and what these teachers should be taught; (4) vocational guidance and career choice processes -- information is needed to find out more about how concepts of work are formed; how individuals are motivated, and how individual satisfactions are achieved; and (5) adult and continuing education -- assessment of the content, quality and extent of ongoing programs is needed with special emphasis on the participants themselves, on the process of adult education and the content of adult education programs.

A well-conceived research and development program in any of these five areas must aim at developing new knowledge concerning the process of education and new applications of existing knowledge to this process.

## X. SUMMARY

In formulating a proposal, the services of the Research Coordinating Unit are available for advice prior to and during the writing of the proposal. The Research Coordinating Unit staff cannot undertake to write a proposal applicable for a school, county, or other agency. However, it is a function of the Research Unit to coordinate, stimulate and encourage research in the area of vocational education in public schools, colleges, and universities of the state. The materials provided in this guide should be of assistance in helping transcribe a problem or an idea into a proposal which may be significant in the field of research. If additional information is desired contact the Research Coordinating Unit at the following location:

West Virginia Research Coordinating Unit
for Vocational Education
Box 174
Marshall University
Huntington, West Virginia 25701
Phone A/C 304, 523-3411, Ext. 266

For those desiring to visit the RCU the offices are located at 1636 Fifth Avenue, Huntington, West Virginia.

## SOURCES OF ADDITIONAL INFORMATION

U. S. Department of Health, Education and Welfare, Office of Education, "Research Development Grants Regional Research Program Bureau of Research, U. S. Office of Education - Preliminary Draft," U. S. Government Printing Office, December, 1966

U. S. Department of Health, Education and Welfare Office of Education, "Small Project Research, Regional Research Program, Bureau of Research, U. S. Office of Education - Preliminary Draft," U. S. Government Printing Office, March 1967

U. S. Department of Health, Education and Welfare, Office of Education, "Support for Research and Related Activities" U. S. Government Printing Office, OE-12025

How to Prepare a Research Proposal
by David R. Krathwohl
Syracuse, New York; School of Education, Syracuse University, 1966. pg. 50 (Available at one dollar per copy from the Syracuse University Bookstore, 303 University Place, Syracuse, New York 13210

Principles of Technical Writing
by Robert Hays
Southern Technical Institute
Addison-Wesley Publishing Company
Reading, Massachusetts

Proposal and Inquiry Writing
by Sigfried Mandel and David L. Caldwell
Macmillan Publishing Company
New York, New York

# APPENDIX A

WVRCU-3

Research Coordinating Unit
for
Vocational Education
Box 174 Marshall University
Huntington, W. Va. 25701



| RCU Routing |
| --- |
| |
| |
| |

# PRELIMINARY APPLICATION
## to File a Research or Developmental Proposal for Federal-State Aid in Vocational-Technical Education

| RCU Coding |
| --- |
| |
| |
| |

Date_____

Name of County_____ Address_____
Phone No._____

Name of School_____ Address_____
Phone No._____

Name of Applicant_____ Address_____
Phone No._____

State the suggested title of your proposal:

Describe what this project will attempt to accomplish:

Has this proposal been discussed with the Superintendent of Schools, Principal, Supervisor, Director or others? If so, please list these names and the positions they occupy.

_____ _____

_____ _____
Name Position

Comments:

It is understood that this preliminary application form is not binding. Receipt will be acknowledged by the Research Coordinating Unit. A more detailed proposal will be submitted when we have been advised that this Preliminary Application has been accepted.

Signatures:_____ _____

_____ _____
Name Position

If additional comments are necessary, please use the reverse side.
Submit three (3) copies and retain fourth copy (pink) for your files.

# Appendix B

## A - OUTLINE FOR RESEARCH TYPE PROPOSALS

1. Problem: Give a brief statement of the problem, explaining its importance and relationship to vocational education.

2. Related Research or Background Information: Cite or summarize pertinent research related to the proposed study. Present the rationale upon which the proposal is based and when appropriate, its uniqueness in relation to other research.

3. Objectives: State the objectives of the research program, the hypotheses to be tested, or the specific questions to be answered.

4. Procedures: Describe the procedures in detail, listing the steps to be followed. When appropriate, provide specific information about each of the following:

   a. General Design: Describe the general design of the study and indicate why this design appears particularly appropriate for achieving the stated objectives. In experimental research, for example, the independent and dependent variables should be stated with the rationale for their selection.

   b. Population and Sample: Describe the group of subjects from which the sample is to be drawn and indicate why the sample is to be taken from this group. Explain the sampling method and the number and characteristics of the subjects to be chosen. Indicate how experimental and control groups will be equated.

   c. Data and Instrumentation: Indicate the data to be gathered and the collection methods to be used. Describe qudstionnaires, interview guides, tests, and other instruments to be employed.

   d. Analysis: Indicate the specific methods of analysis to be used in achieving the objectives, answering the questions, or testing the hypotheses. (When several hypotheses are to be tested or several questions are to be answered, it is usually helpful to specify the analysis in relation to each hypothesis or question.)

   e. Time Schedule: In chronological order indicate the approximate length of time required for each major aspect of the study.

5. Personnel: Give the name, title, and a brief statement of the pertinent experience and unique qualifications of the principal investi-

gator(s). Include information on key personnel and consultants when possible. Indicate the individuals who have tentatively agreed to serve on the program.

6. Facilities: Indicate any special facilities and similar advantages available to your institution or agency which will aid in the conduct of the program. When the cooperation of other schools or agencies is essential to the conduct of the study, indicate the extent and nature of such assurance and cooperation.

7. Other Information: Make a brief statement concerning each of the following items. The information given here will in no way jeopardize approval of the program.

a. The amount of support available for this purpose from sources other than the transmitting institution.

b. Whether this proposal has been submitted to any other agency or organization.

c. Whether this is a proposed extension of, or addition to, a program previously or currently supported by the Office of Education.

d. Whether this or a similar proposal was previously submitted to the Office of Education.

8. Consideration by State Board of Education: If the proposal is submitted by a local educational agency, attach a letter indicating approval by the State Board or an authorized representative. If the proposal is submitted by an applicant other than a State Board or a local educational agency, describe the extent to which there has been discussion with representatives of a State Board.

9. Budget: Prepare the budget in the format shown in Appendix "E" and on page 15 of the booklet #OE12025 entitled Support for Research and Related Activities. Round all amounts to the nearest ten dollars. Show costs for the first twelve months of activity, the second twelve months, etc., as well as the total costs for the full duration of the project. Include columns for Federal funds and for local funds, in accordance with the cost-sharing principle.

# CRITERIA FOR EVALUATING RESEARCH TYPE PROPOSALS

## Educational Significance

1. The program is focused on an educational problem of major importance in providing vocational education programs of high quality.

2. The anticipated outcomes of the research would be of potential value to vocational education and of broad national interest.

## Research Design

1. The problem with which the research proposes to deal is clearly defined and appropriately delimited.

2. The proposal reflects an adequate knowledge of other research related to the problem.

3. The objectives, questions to be answered, or hypotheses to be tested are well formulated and clearly stated.

4. The relationships between the problem, objectives, and procedures are clear.

5. The proposal outlines fully the procedures to be followed and, wherever applicable, includes information on such matters as sampling procedures, controls, types of data to be gathered, and statistical analyses to be made.

## Personnel and Facilities

1. The experience and training of the key personnel appear adequate to carry out the research.

2. The facilities available to the investigator(s) are adequate to carry out the research.

3. The plan provides, wherever feasible, for encouraging and increasing research knowledge and skills of professional personnel and of new research workers.

## Economic Efficiency

1. The suggested approach to the problem is reasonable in terms of overall cost as compared with the cost of other possible approaches.

2. The total proposed expenditure is justifiable in terms of the probable value of the results of the proposed research.

# Appendix C

## B - OUTLINE FOR TRAINING TYPE PROGRAM PROPOSALS

1. Purpose: Give a brief statement of the purpose, need for training, the specific objectives of the program and its significance and expected contribution to vocational education.

2. Content: Provide an outline of the content to be included and the procedures to be used as they relate to the specific objectives of the training program. If college credit is to be granted, indicate level, amount, and provisions to be met.

3. Schedule: Provide information on length of training including hours per day, and number of days or weeks for each phase or content area of the program.

4. Personnel: Give the name, title, and a brief statement of the pertinent experience and qualifications of principal staff members and consultants.

5. Trainees: Provide information on persons to be trained including method of recruitment, selection, and prerequisites for training in terms of experience and/or formal education, position and other pertinent information.

6. Facilities: Indicate adequacy of facilities such as classrooms, laboratories, housing, training equipment, and teaching aids.

7. Evaluation: Describe plan for program evaluation.

8. Other Information: Make a brief statement concerning each of the following items. The information given here will in no way jeopardize approval of the program.

   a. The amount of support available for this purpose from sources other than the transmitting institution.

   b. Whether this proposal has been submitted to any other agency or organization.

   c. Whether this is a proposed extension of, or addition to, a program previously or currently supported by the Office of Education.

   d. Whether this or a similar proposal was previously submitted to the Office of Education.

9. Consideration by the State Board of Education: If the proposal is submitted by a local educational agency, attach a letter indicating

approval by the State Board or an authorized representative. If the posposal is submitted by an applicant other than a State Board or local educational agency, describe the extent to which there has been discussion with representatives of a State Board or Boards.

10. Budget: Prepare the budget in the format shown in Appendix "E" and on page 15 of the booklet #OE12025 entitled Support for Research and Related Activities. Round all amounts to the nearest ten dollars. Show costs for the first twelve months of activity, the second twelve months, etc., as well as the total costs for the full duration of the project. Include columns for Federal funds and for local funds, in accordance with the cost-sharing principle.

# CRITERIA FOR EVALUATING TRAINING TYPE PROPOSALS

## Educational Significance

1. The program is likely to make a significant contribution to professional and/or technical training of vocational and technical educators.

2. The anticipated outcomes of the program have educational application beyond the local setting in which the training is conducted.

## Plan for the Program

1. The description, objectives, and procedures of the proposed program are presented clearly and completely.

2. The training objectives can be achieved with the proposed content and procedures.

3. The criteria and procedures for selection of trainees are appropriate to the identified need and objectives of the training program.

4. Appropriate plans are specified for the evaluation of the program.

## Personnel and Facilities

1. The experience and training of the key personnel appear adequate to carry out the activity successfully.

2. The facilities available for the program are adequate.

3. The program provides, where appropriate, for the use of professional personnel outside of the discipline of education.

## Economic Efficiency

1. The training program is one that would not normally be conducted as a part of a regular program.

2. Estimated costs of the training program are reasonable for the results to be obtained.

# Appendix D

## C - OUTLINE FOR EXPERIMENTAL, DEVELOPMENTAL, OR PILOT TYPE PROGRAM PROPOSALS

1. Problem: Discuss the educational problem(s) involved in the specific area with which the proposed program deals. Indicate in general terms how the program will contribute to meeting the vocational education needs of youth.

> NOTE: Special consideration will be given to programs involving youth in economically depressed communities who have socio-economic or other handicaps that prevent them from succeeding in regular vocational education programs.

2. Description: Describe the concept or innovation involved. Indicate how it differs from present programs or procedures and what it may accomplish that is not already in practice. Include information on materials to be developed, instructional emphasis, and the ways in which it may make a contribution to vocational education. Cite previous work which has been done, observations made and related research which will provide a rationale for the proposed project.

3. Objectives: Cite the specific objectives to be achieved in the program. They should be clear and capable of being attained by the proposed procedures.

4. Administration: Describe the administrative structure and the use of advisory groups.

5. Procedures: Describe the major elements of the operational plan. When appropriate, include information on at least the following:

> a. General Design: Describe the general design of the program and indicate why it is particularly appropriate for achieving the stated objectives. If control groups are used, describe their composition and purpose.
>
> b. Schools or Locations: Describe the method and criteria to be used in selection.
>
> c. Participants: Describe the criteria for selection and the number of students and others participating in the program.
>
> d. Methods and Materials: Describe the instructional materials and methods to be used and how they will be developed and utilized in the program.

e. Evaluation: Describe the evaluative procedures to be employed, data to be gathered, and analyses to be made in order to determine the extent to which the objectives of the program have been achieved.

f. Time Schedule: In chronological order, indicate the approximate length of time required for each aspect of the program.

6. Dissemination: Describe how the results of the program are to be disseminated. (If dissemination is not an integral part of this program, indicate what steps will be taken in order to make the results available to others.)

7. Personnel: Give name, title, and a brief statement of the pertinent experience and unique qualifications of the principal investigator(s). Include information on key personnel and consultants when possible. Indicate the individuals who have tentatively agreed to serve on the program.

8. Facilities: Indicate any special facilities and similar advantages available to your institution or agency which will aid in the conduct of the program. When the cooperation of other schools or agencies is essential to the conduct of the study, indicate the extent and the nature of such assurance and cooperation.

9. Other Information: Make a brief statement concerning each of the following items. The information given here will in no way jeopardize approval of the program.

a. The amount of support available for this purpose from sources other than the transmitting institution.

b. Whether this proposal has been submitted to any other agency or organization.

c. Whether this is a proposed extension of, or addition to, a program previously or currently supported by the Office of Education.

d. Whether this or a similar proposal was previously submitted to the Office of Education.

10. Consideration by State Board of Education: If the proposal is submitted by a local educational agency, attach a letter indicating approval by the State Board or an authorized representative. If the proposal is submitted by an applicant other than a State Board or a local educational agency, describe the extent to which there has been discussion with representatives of a State Board or boards.

11. Budget: Prepare the budget in the format shown in Appendix "E" and on page 15 of the booklet #OE12025 entitled Support for Research and Related Activities. Round all amounts to the nearest ten dollars. Show costs for the first twelve months of the activity, the second twelve months, etc., as well as the total costs for the full duration of the project. Include columns for Federal funds and for local funds, in accordance with the cost-shating principle.

# CRITERIA FOR EVALUATING EXPERIMENTAL, DEVELOPMENTAL OR PILOT PROGRAMS

## Educational Significance

1. The program is focused on an educational problem of major importance in providing special vocational education programs for youth. Special consideration will be given to programs involving youth in economically depressed communities who have academic or socioeconomic or other handicaps which prevent them from succeeding in regular vocational education programs.

2. The program or procedures to be utilized appear to be feasible and practical for wide application in vocational education.

3. The program is concerned with a relatively new and/or unique vocational education program or procedure, or application of known information in a new situation for the education of youth.

## Plan of Operation

1. The problem and the objectives of the program are clearly stated.

2. The procedures necessary to achieve the objectives of the program are appropriate and technically sound.

3. The proposal adequately describes, in relation to the purposes of the program, the information or expected results to be obtained and how these are to be analyzed.

4. The proposal includes provisions for an adequate evaluation of the effectiveness of the program or procedures being used.

5. The proposal describes how the program and its results are to be made known.

## Personnel and Facilities

1. The staff includes individuals who are skilled and knowledgeable in the type of program represented in the proposal.

2. The program provides, where appropriate, for the use of professional personnel outside of the discipline of education.

3. The facilities available for carrying out the program are adequate.

4. The nature of the cooperation from participating schools or other agencies is clearly identified.

## Economic Efficiency

1. Estimated costs of the program are reasonable for the results to be obtained.

# Appendix E

Initiator_____ Duration of Proposed Activity_____

Institution or Agency_____ Beginning Date:_____ Ending Date:_____

Check Type: Research ( ) Training ( ) Experimental, Developmental, or Pilot ( )

| Category | Projected Cost by Line Item (1) Federal | Local |
|---|---|---|
| I. DIRECT COSTS (2) | | |
| Personnel (List all position titles such as project director, research assistant, secretary, consultants (3), etc. State percent of time on the project, per annum salary, and beginning and ending dates of employment for each person.) | | |
| Employee Benefits (Summarize benefits such as Social Security, retirement, salary increments, etc.) | | |
| Travel (Indicate fares and/or mileage at allowable rate; number of days per diem and rate.) | | |
| Supplies and Materials (Itemize)<br>1. Project Materials<br>2. Office Supplies | | |
| Communications (Including telephone, postage, etc.) | | |
| Services<br>1. Duplicating and reproduction (Itemize) (Including Final Report)<br>2. Statistical (Itemize Costs)<br>3. Testing (Itemize Costs)<br>4. Other | | |

| Category | Federal | Local |
|---|---|---|
| Equipment (Generally, capital equipment may not be purchased with research funds. Certain types of equipment may be available from Government sources as determined by the Office. If not, cost of rent vs. purchase may be considered.) | | |
| Other Direct Costs (Itemize) | | |
| Subtotal Direct Costs | | |
| II. INDIRECT COSTS (Give basis on which local overhead is computed, who established the rate, when, and period covered.) | | |
| III. TOTAL PROJECT COSTS | | |
| IV. COST SHARING (Percentage distribution of proposed Federal and local support.) | | |

(1) For projects longer than 18 months in duration, use one column for each 12 months of activity and a final column for totals.

(2) Salaries, service charges, travel costs, etc., must conform to the standard rate of the institution or agency.

(3) Consultants: Show rate and number of days under Personnel; transportation and per diem under travel.

NOTES:

Format: A budget may need to be presented in a summary outline form, a detailed itemized form, and may require some narrative explanation to fully define the financial requirements of the proposal.

Attachments: If any of the following items apply to the proposal being submitted, provide the information in each instance. Each attachment should appear as a separate item on separate pages.

1. Instruments: Any applicant who plans to use an unpublished instrument (e.g., a questionnaire or interview guide) in his study should include a copy. If an instrument is not as yet developed or only partially completed, a page of sample items should be submitted. No finalized questionnaire or interview guide may be used without approval. See item 10, Procedural, on Check List.

2. Revisions: If this application is being submitted, append a statement describing the major revisions which have been made. This does not apply to those applications which have been submitted previously in draft form for informal review.

Processing Time: Proposals for grants from a few hundred dollars up to $10,000.00 may be processed in a relatively short time. Requests for larger amounts and for research covering long periods of time necessarily require a longer period for review. Allow, in your time schedule, at least three months for review and processing.

# Appendix F

CHECKLIST FOR PROPOSAL REVIEW

(This is similar to the check-list that will be used in reviewing proposals)

A. Procedural Questions:

**Copies**

1. Has the initiator submitted thirty-five (35) copies of the proposal?

**Cover**

2. Has the cover page been made up <u>exactly</u> as shown on page 10 of the booklet entitled <u>Support for Research and Related Activities</u>?

**Signatures**

3. On the original or master copy of the proposal, has the cover page been <u>signed in ink</u> by the initiator and by other appropriate officials of the sponsoring agency or institution? (Actual signatures are required; reproduced signatures are not acceptable )

**Abstract**

4. Has the initiator provided a one-page abstract of the proposal as specified on page 9 of the booklet entitled <u>Support for Research and Related Activities</u>? (A copy of the abstract should be included immediately after the cover page in <u>each</u> copy of the proposal, and in addition, <u>25</u> individual copies of the abstract should be provided separately.)

**Selection of Proper Outline**

5. In the body of the proposal, has the initiator followed the proper outline for the type of program being proposed? (An appropriate outline for RESEARCH programs is illustrated in Appendix "B". An appropriate outline for TRAINING programs is illustrated in Appendix "C". An appropriate outline for EXPERIMENTAL, DEVELOPMENTAL, or PILOT programs is illustrated in Appendix "D" )

**Coverage**

6. Has the initiator included <u>all</u> headings of the proper outline in his proposal? (It is important that the initiator provide materials covering each and every heading shown in the outline )

| | | |
|---|---|---|
| Budget | 7. | Has the initiator provided a budget in the format shown? |
| Cost Sharing Principle | 8. | Does the budget reflect the cost-sharing principle? (There should be two columns in the budget, one showing the Federal grant funds needed and the other showing the funds that will be provided from the initiator's own local sources.) |
| Appendix | 9. | Does the proposal have the necessary appended items as specified on page 12 of the booklet entitled Support for Research and Related Activities. |
| Questionnaire Approval | 10. | Is the initiator aware that in projects which involve the gathering of identical information from ten or more individuals, or organizations, the initiator must submit to the U. S. Office of Education copies of all questionnaires and other data gathering instruments for transmittal to the Bureau of the Budget for approval prior to their use, in accordance with the requirements of the Federal Reports Act of 1942? |
| Eligible Agencies | 11. | Is the proposal being submitted by an institution or agency that is eligible for Federal grants under Section 4(c) of the Vocational Education Act of 1963? (Any college, university, and other public or non profit private agency and institution, State Board for Vocational Education, and with the approval of the appropriate State Board, a local educational agency is eligible to apply for a grant award.) |
| Cover Letter | 12. | Is the proposal accompanied by a letter indicating approval of the State Board of Education, as specified in the middle of page 8 of the booklet entitled Support for Research and Related Activities. |
| Criteria | 13. | Is the initiator aware of the criteria by which his proposal will be evaluated? |
| Time Elements and Screening | 14. | Is the initiator aware of the review process and the time lag involved in securing approval and funding for a proposal? Does |

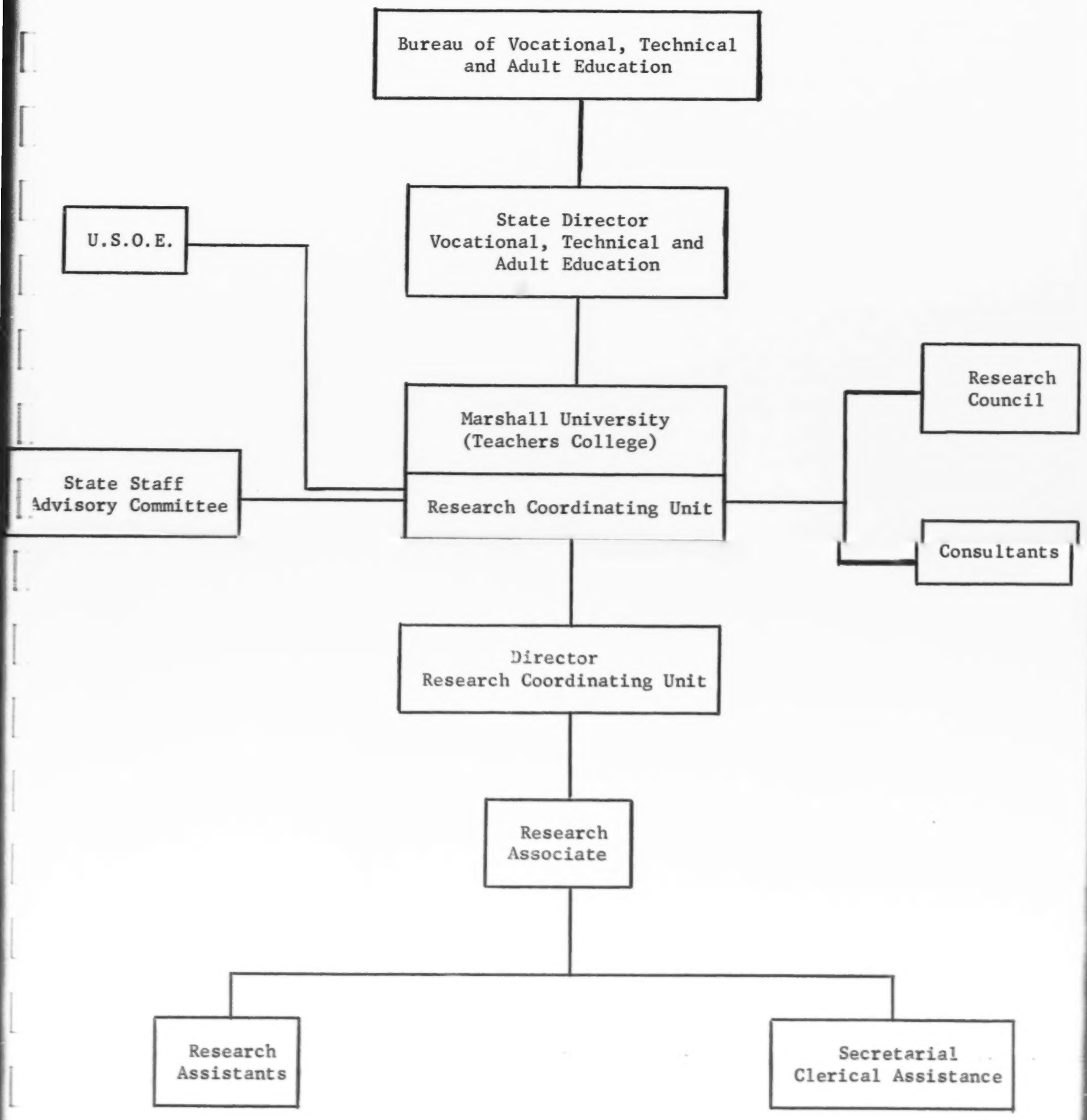
he know that proposals must be routed to specialized consultants outside the Office of Education for analysis and comment, and also must pass through internal screening and review procedures? Does he realize the amount of time required to negotiate and sign the formal Federal grant documents for approved proposals? Has he taken these time factors into account in planning the starting date for his proposed activities?

B. Substantive Questions:

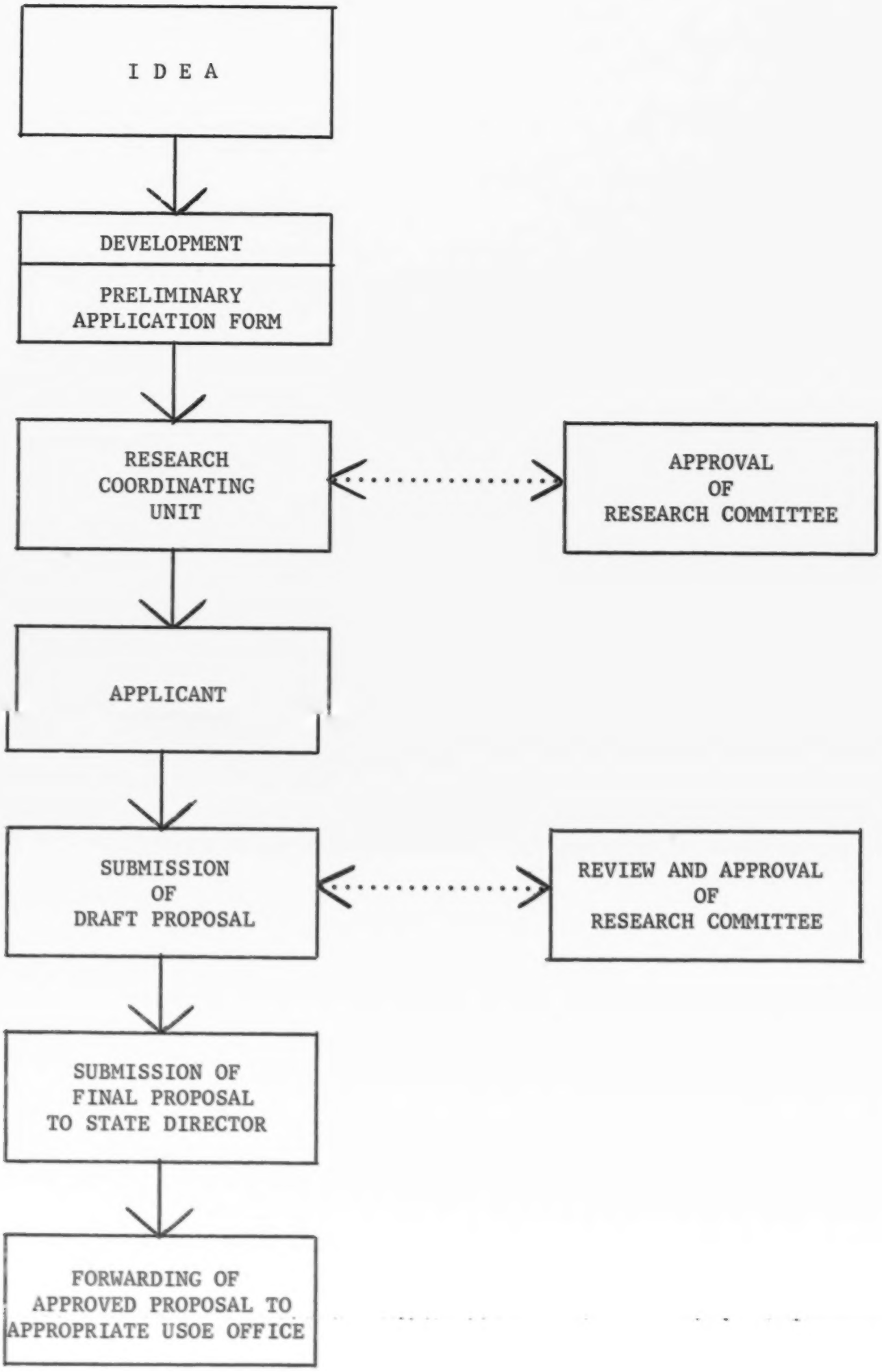
| | |
|---|---|
| Significance | 1. Is the proposal directed toward a problem of major significance in vocational and technical education? Has the initiator demonstrated this in his write-up? |
| Innovation | 2. Is the approach to the problem an innovative one? |
| Generalization of Results | 3. Would the results of the proposed project be generalizable over a broad area? |
| Avoidance of Duplication of Effort | 4. Has the initiator reviewed related research and development activities (both completed and on-going) and explained how his proposal would not duplicate but would rather carry forward the efforts already completed or underway? |
| Clarity | 5. Are the objectives of the proposal properly delimited and stated in a clear and specific manner? |
| Soundness | 6. Are the procedures for achieving the objectives appropriate, technically sound, and spelled out in full detail? |
| Adequacy | 7. Are the plans for treatment of data, analysis, and/or evaluation adequate from the technical standpoint, appropriate in relation to the objectives and presented in a complete and detailed manner? |
| Consistency | 8. Is the proposal internally consistent? Has the initiator presented a direct, straight-line relationship between the objectives, the procedures, and the evaluation? |

| | | |
|---|---|---|
| Dissemination | 9. | In the case of an experimental, developmental, or pilot program, has the initiator described effective ways in which the results of the program will be disseminated to others? |
| Realism | 10. | Is the budget realistic, and are the budget items related specifically to the procedures that are to be followed? |

STRUCTURE WITHIN WHICH THE
STATE RESEARCH COORDINATING UNIT
WILL FUNCTION



# RESEARCH PROPOSAL FLOW-CHART


I D E A
DEVELOPMENT
PRELIMINARY APPLICATION FORM
RESEARCH COORDINATING UNIT
APPROVAL OF RESEARCH COMMITTEE
APPLICANT
SUBMISSION OF DRAFT PROPOSAL
REVIEW AND APPROVAL OF RESEARCH COMMITTEE
SUBMISSION OF FINAL PROPOSAL TO STATE DIRECTOR
FORWARDING OF APPROVED PROPOSAL TO APPROPRIATE USOE OFFICE

INQUIRY FORM

The West Virginia Research Coordinating Unit for Vocational Education is happy to have provided you with information relative to the area of research in vocational, technical and adult education. If you feel that further information or assistance can be provided by the RCU, please complete and forward the following form to:

WEST VIRGINIA RESEARCH COORDINATING UNIT
P. O. Box 174
Marshall University
Huntington, West Virginia 25701
Phone A/C 304, 523-3411, Ext. 266

---

Date_____

I would like additional information relative to_____

_____

_____

_____

I am interested in talking to the RCU staff to discuss_____

_____

_____

_____

Name:_____ Address:_____

Position:_____ _____

School/Agency:_____ Phone:_____